

Retention and Classification Report

Agency: Department of Human Services. Division of Substance Abuse and Mental Health (3195)
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Records Officer Doug Thomas

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AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 83427

3

TITLE: Alcohol servers education and training files

DATES: 1980-

ARRANGEMENT: Alphabetical by employee surname

DESCRIPTION:

These files document educational training given to alcohol servers within the State of Utah. The Division of Substance Abuse has been charged with the responsibility for conducting the training. Information includes name, social security number, class outlines, and evaluations.

RETENTION:

Retain Until superseded or obsolete.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule SG 11, Item 49.

AUTHORIZED: 05/04/1999

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office until superseded or obsolete and then destroy.

APPRAISAL:

Administrative

This disposition is based on the administrative needs expressed by the agency.

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 83427

TITLE: Alcohol servers education and training files

(continued)

PRIMARY CLASSIFICATION:

Public

SECONDARY CLASSIFICATION(S):

Private

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 25997

3

TITLE: Area Plans/Monitoring Reports

DATES: 1990-

ARRANGEMENT: Alphabetical by name, thereunder chronological by year.

DESCRIPTION:

Studies and system analyses conducted before program change, the purchase, installation, or replacement of any technology or equipment. May include studies and systems analyses for the initial establishment, major changes for program, equipment, or technology changes.

RETENTION:

Retain 5 years

DISPOSITION:

Destroy provided no litigation is pending

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule SG 1, Item 10.

AUTHORIZED: 09/14/2009

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 4 years and then destroy.

APPRAISAL:

Administrative

All appraisal fields were checked. I deleted historical, legal, and fiscal until I check with the agency about the purpose of the records. SLM

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 25997

TITLE: Area Plans/Monitoring Reports

(continued)

PRIMARY CLASSIFICATION:

Public

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 11799

3

TITLE: Assessment files

DATES: 1989-

ARRANGEMENT: Alphabetical by surname, thereunder chronological

ANNUAL ACCUMULATION: 6.00 cubic feet.

DESCRIPTION:

These files document mental health assessments of clients and are used to determine their medical needs for nursing facility services and mental health treatment programs. Information includes name, family information, employment histories, psychiatric and psychological information.

RETENTION:

Retain 9 years.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 06/1997

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office until scanned and quality checked and then transfer to State Records Center. Retain in State Records Center for 9 years and then destroy.

Computer data files: Retain in Office until administrative need ends and then delete.

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 11799

TITLE: Assessment files

(continued)

APPRAISAL:

Administrative

This disposition is based on the administrative needs expressed by the agency.

PRIMARY CLASSIFICATION:

Exempt 42 CFR 483.00 (2008)

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 83431

3

TITLE: Data collection system

DATES: undated

ARRANGEMENT: none

TOTAL VOLUME: 0.50 cubic feet.

DESCRIPTION:

Records which monitor the activities of a data processing system. Information includes console logs, physical, and on-line access.

RETENTION:

Retain Until administrative need ends.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule SG 5, Item 1.

AUTHORIZED: 05/04/1999

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office until administrative need ends and then destroy.

APPRAISAL:

Administrative

This disposition is based on the administrative needs expressed by the agency.

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 83431

TITLE: Data collection system

(continued)

PRIMARY CLASSIFICATION:

Public

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 17225

3

TITLE: Driving under the influence offender instructor certification files

DATES: 1983-

ARRANGEMENT: Alphabetical by district

ANNUAL ACCUMULATION: 0.20 cubic feet.

DESCRIPTION:

This is a record of the certification of instructors who work in educational programs for DUI offenders. Data on the program itself is maintained by the Office of Licensing. This series includes instructor applications for certification, and copies of class surveys performed by the state Substance Abuse staff. These surveys are done to ensure that the instructors are following the state approved curriculum. These classes are monitored annually.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 09/1988

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 3 years and then transfer to State Records Center. Retain in State Records Center for 3 years and then destroy.

APPRAISAL:

Administrative Fiscal

PRIMARY CLASSIFICATION:

Private

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 3808

3

TITLE: Education of the handicapped training manuals

DATES: 1960-2004

ARRANGEMENT: Alphanumerical

ANNUAL ACCUMULATION:

DESCRIPTION:

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in State Archives permanently with authority to weed.

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 22011

3

TITLE: Financial Information Network (FI-NET) Reports

DATES: 1990-

ARRANGEMENT: Numerical by report number

ANNUAL ACCUMULATION:

DESCRIPTION:

Reports of accounting information contained in the state accounting system, including budget, grant, payroll, revenue expense, accounting reports, and bank reconciliations.

RETENTION:

Retain 7 years.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule SG 7, Item 55.

AUTHORIZED: //

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 3 years and then transfer to State Records Center. Retain in State Records Center for 4 years and then destroy.

APPRAISAL:

Administrative Fiscal

This disposition is based on the administrative needs expressed by the agency for the purpose of conducting audits.

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 22011

TITLE: Financial Information Network (FI-NET) Reports

(continued)

PRIMARY CLASSIFICATION:

Public

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 22010

3

TITLE: Financial Information Resources System (FIRMS) periodic reports

DATES: 1990-

ARRANGEMENT: Numerical by report number

ANNUAL ACCUMULATION:

DESCRIPTION:

Includes the following: FICAA01T Trail balance monthly. FICAA05P Outstanding encumbrance. FICAA09P Outstanding reservation. FICAA10P Cash deposits. FICAA30P General ledger activity. FICAA85P Revenue and expenditure status by fund. FICAED01 Expenditure detail by sub-account. FICAES01 Expenditure status by sub-account. FICAES02 Work program/expenditure comparison by summary account. FICARD01 Revenue detail by sub-account within organization. FICARS01 Revenue status by sub-account. FICARS02 Estimated revenue/realized revenues. FICAER01 Expenditure/revenue summary by level 2. FICAMP01 Revenue account status by activity other than Department of Transportation. OBSOLETE RECORD SERIES BY 1998.

RETENTION:

Retain 5 years.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule SG 7, Item 21.

AUTHORIZED: //

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 4 years and then destroy.

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 22010

TITLE: Financial Information Resources System (FIRMS) periodic reports

(continued)

APPRAISAL:

Administrative Fiscal

This disposition is based on the administrative needs expressed by the agency for the purpose of conducting audits.

PRIMARY CLASSIFICATION:

Public

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 3098

3

TITLE: Mental health and retardation correspondence

DATES: 1947-

ARRANGEMENT: Alphanumerical

ANNUAL ACCUMULATION:

DESCRIPTION:

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in State Archives permanently with authority to weed.

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 3839

3

TITLE: Mental health bibliography

DATES: 1947-2004

ARRANGEMENT: Alphanumerical

ANNUAL ACCUMULATION:

DESCRIPTION:

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in State Archives permanently with authority to weed.

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 18207

3

TITLE: Mental health client case files

DATES: 1985-

ARRANGEMENT: Alphabetical by client surname, thereunder chronological by year

ANNUAL ACCUMULATION: 15.00 cubic feet.

DESCRIPTION:

These case files document the diagnosis and treatment of mental health, alcohol and drug abuse patients. They are created by clinical staff including social workers, psychiatrists, nurses, and psychologists. They may include applications for services, assessments, mental health examinations, treatment plans, medical records, progress notes, treatment reviews, income claim forms, copies of paycheck stubs, copies of medicare card, release forms, medication prescribed, copies of prescriptions issued, psychological tests and evaluations. May also contain case management documents such as ninety day reviews and service plans.

RETENTION:

Retain 5 years.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 06/1997

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 1 year after case closes and then transfer to State Records Center. Retain in State Records Center for 4 years and then destroy provided no pending action or litigation.

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 18207

TITLE: Mental health client case files

(continued)

APPRAISAL:

Administrative Legal

This disposition is based on the administrative needs expressed by the agency and Medicare legal requirements specified in the Utah Administrative Code, R414-28 (1983) which specifies that these records must be retained for a minimum of five years.

PRIMARY CLASSIFICATION:

Controlled

SECONDARY CLASSIFICATION(S):

Private. UCA 63G-2-302 (2008)

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 7141

3

TITLE: Mental health patient case files

DATES: 1974-

ARRANGEMENT: Numerical by case number

ANNUAL ACCUMULATION:

DESCRIPTION:

These files document services provided to clients by the Division of Mental Health. Information includes name, social security number, correspondence, psychiatric and psychological information, birthdate, and correspondence.

RETENTION:

Retain 30 years.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 08/1999

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office until microfilmed and then destroy provided microfilm has passed inspection.

Microfilm master: Retain in State Records Center for 30 years and then destroy.

Microfilm duplicate: For records prior to and including 2000. Retain in Office for 30 years and then destroy.

Paper: For records beginning in 2001 and continuing to the present. Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 29 years and

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 7141

TITLE: Mental health patient case files

(continued)

then destroy.

APPRAISAL:

Administrative

This disposition is based on the administrative needs expressed by the agency.

PRIMARY CLASSIFICATION:

Controlled

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 17245

3

TITLE: Mental health patient commitment notices

DATES: 1980-

ARRANGEMENT: Chronological

ANNUAL ACCUMULATION: 0.20 cubic feet.

DESCRIPTION:

This is a notice sent to the Division which indicates the whereabouts of a patient in the system. A patient may have been transferred to another facility, released, or have been committed by the court. This series includes the date of transfer, date of discharge, name of facility, and type of commitment.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 09/1988

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 5 years after date of last treatment or until entered onto the data system and then destroy.

Computer magnetic storage media: Retain in Office for 5 years after date of last treatment and then erase.

APPRAISAL:

Administrative Fiscal

Retention is based on UCA 62A-12-248(3); (formerly UCA 64-7).

PRIMARY CLASSIFICATION:

Controlled

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 3901

3

TITLE: Mental health plans

DATES: 1962-

ARRANGEMENT: Chronological

ANNUAL ACCUMULATION:

DESCRIPTION:

Any record, regardless of format, that is issued by a governmental entity for public distribution at the total or partial expense of that governmental entity. See Utah Code Section 9-7-101 8(a)(b) (2010) and 9-7-208 (2006)

RETENTION:

Retain 10 years.

DISPOSITION:

Transfer to the State Archives with authority to weed.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule SG 1, Item 25.

AUTHORIZED: 04/19/2002

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 1 year and then transfer to State Records Center. Retain in State Records Center for 9 years and then transfer to State Archives with authority to weed.

Microfiche master: Retain in State Archives permanently with authority to weed.

Microfiche duplicate: Retain in State Archives permanently with authority to weed.

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 3901

TITLE: Mental health plans

(continued)

APPRAISAL:

Administrative Historical

This disposition is based on the secondary historical value to researchers interested in the development of mental health programs in Utah.

PRIMARY CLASSIFICATION:

Public

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 17244

3

TITLE: Mental health provider files

DATES: 1982-

ARRANGEMENT: Chronological

ANNUAL ACCUMULATION: 0.50 cubic feet.

DESCRIPTION:

This is a complete record on the provider and the services available to social service clients. This series includes a service plan, Quality Control Review, Pre-Site Review, budget statement, and related correspondence.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 09/1988

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 2 years after contract expires or is terminated and then transfer to State Records Center. Retain in State Records Center for 3 years and then destroy provided no litigation is pending.

APPRAISAL:

Administrative Fiscal Legal

PRIMARY CLASSIFICATION:

Public

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 24183

3

TITLE: Mental health publications

DATES: 1957-2004.

ARRANGEMENT: Chronological by year of publication.

ANNUAL ACCUMULATION:

DESCRIPTION:

Documents created by the agency, including pamphlets, reports, leaflets, newsletters and other published or processed documents. These documents contain information about pertinent legislation, methods of treatment, community mental health centers, citizen involvement and other services offered by the Division of Mental Health. The series consists primarily of isolated publications and is not part of a more specific series.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule SG 1, Item 25.

AUTHORIZED: 04/16/2002

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in State Archives permanently with authority to weed.

APPRAISAL:

Historical

These records document trends in the mental health field as well as procedures and function of the agency.

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 24183

TITLE: Mental health publications

(continued)

PRIMARY CLASSIFICATION:

Public

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 3899

3

TITLE: Mental retardation association reorganization plan

DATES: 1973-

ARRANGEMENT: Alphanumerical

ANNUAL ACCUMULATION:

DESCRIPTION:

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in State Archives permanently with authority to weed.

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 17246

3

TITLE: National Drug and Alcoholism Treatment Unit survey report

DATES: 1980-

ARRANGEMENT: Chronological

ANNUAL ACCUMULATION: 0.50 cubic feet.

DESCRIPTION:

This is a statistical report requested by and sent to the federal government. It contains the number of clients participating in a substance abuse treatment program. The report is not done on a continual basis, but only when requested by the federal government. A copy of this report is returned to the agency.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 09/1988

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 2 years after date of report and then transfer to State Archives with authority to weed.

APPRAISAL:

Administrative

Retention is based on general Retention Schedule 20.

PRIMARY CLASSIFICATION:

Public

SECONDARY CLASSIFICATION(S):

Private. data on private institutions.

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 3611

4

TITLE: On site evaluation and site visit reports

DATES: i 1983-

ARRANGEMENT: Alphanumerical

ANNUAL ACCUMULATION:

DESCRIPTION:

These reports document on site visits to evaluate compliance with the regulations and quality assurance of private providers who have contracted with the Division of Substance Abuse. These reports include client record reviews, service validations, general findings and conclusions, compliance statements, recommendations, and Management Information System (MIS) validations.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 01/1986

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 5 years and then destroy.

APPRAISAL:

Administrative Legal

This disposition is based on the needs of the agency.

UCA 63-2-11 (1989) specifies the authority given to the Department of Human Services to conduct on site evaluations and inspections.

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 3611

TITLE: On site evaluation and site visit reports

(continued)

PRIMARY CLASSIFICATION:

Private

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 19522

3

TITLE: Personnel files (permanent employees)

DATES: 1970-2003.

ARRANGEMENT: Alphabetical by employee surname

ANNUAL ACCUMULATION:

DESCRIPTION:

Complete work history of individual while employed by the State. Refer to UCA 67-18-1, et seq. and DHRM standards on accessing, maintaining, and managing employee personnel files. When an employee transfers to another state agency, the official personnel file must be sent to the new agency. The file should include current information on performance evaluations, performance plans, position description, career mobility agreement, insurance benefits notification (ADNT-1), job swap agreement, and overtime agreement where applicable. Also contains application for employment, employees' social security card (copy), Notice of personnel action (DHRM 33), Human resource profile/events (DHRM 34), Termination form (DHRM 35), Employment eligibility verification form, Exit interview form, New employee orientation self-guide, and retirement/deferred compensation plan notification (ADNT-2). May contain documentation on employee withholding, completion of course certificates, conflict of interest letters, incentive award results, letters of commendation, leave records, health records, and leave adjustment reports.

RETENTION:

Retain 65 years after retirement or separation

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule SG 11, Item 2.

AUTHORIZED: 12/12/1997

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 19522

TITLE: Personnel files (permanent employees)

(continued)

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 1 year after retirement or separation and then transfer to State Records Center. Retain in State Records Center for 64 years and then destroy.

APPRAISAL:

Administrative Legal

This disposition is based on the Utah General Retention Schedule, Schedule 11, Item 2.

PRIMARY CLASSIFICATION:

Private

SECONDARY CLASSIFICATION(S):

Public. UCA 63G-2-301(1)(b) 1995

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 2780

3

TITLE: Substance abuse executive correspondence

DATES: 1976-2004.

ARRANGEMENT: Alphanumerical

ANNUAL ACCUMULATION:

DESCRIPTION:

Business-related correspondence which provide unique information about agency functions, policies, procedures, or programs. These records document material discussions and decisions made regarding all agency interests, and may originate on paper, electronic mail, or other media. This correspondence is filed separately from program case files, and project files.

RETENTION:

Retain Archives custody.

DISPOSITION:

Transfer to the State Archives with authority to weed.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule SG 1, Item 9.

AUTHORIZED: 02/07/2001

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in State Archives permanently with authority to weed.

APPRAISAL:

Administrative Historical

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 2780

TITLE: Substance abuse executive correspondence

(continued)

PRIMARY CLASSIFICATION:

Public

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 3612

3

TITLE: Substance abuse executive summaries of on site evaluation reports

DATES: i 1983-

ARRANGEMENT: Alphanumerical

ANNUAL ACCUMULATION:

DESCRIPTION:

These are summaries of on site evaluation reports used to provide information to the public summarizing compliance of private organizations contracting with the State Division of Alcoholism and Drugs. These reports include a brief statement of compliance and/or noncompliance with elements of the contract, initiation of any corrective action, overall compliance issues, and any decisions to either withdraw or increase program funding.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series were specifically approved by the State Records Committee.

APPROVED: 01/1986

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 5 years and then destroy.

APPRAISAL:

Administrative

This disposition is based on the needs expressed by the agency.

PRIMARY CLASSIFICATION:

Public

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 17228

3

TITLE: Substance abuse provider contract files

DATES: 1984-

ARRANGEMENT: Alphabetical by district

ANNUAL ACCUMULATION: 6.20 cubic feet.

DESCRIPTION:

Criticisms, evaluations, and reports of a program to ensure compliance with the regulations and quality assurance of the provider who has a contract with the division. This series includes status of license, program evaluation, criticisms of the program, copy of the contract, and resumes.

RETENTION:

Retain 6 years after closure.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 09/1988

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 3 years after date of closure and then transfer to State Records Center. Retain in State Records Center for 3 years and then destroy provided no litigation is pending.

APPRAISAL:

Administrative Fiscal

Retention is based on the Illinois Schedule for the Department of Alcoholism and Substance Abuse, Records Schedule 86-105, Item 25.

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 17228

TITLE: Substance abuse provider contract files

(continued)

PRIMARY CLASSIFICATION:

Private

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 83428

3

TITLE: Substance abuse provider contract monitoring files

DATES: undated

ARRANGEMENT: Alphabetical by provider surname

TOTAL VOLUME: 1.00 cubic foot.

DESCRIPTION:

These records document monitoring programs for providers contracted by the Department of Human Services. The Division of Substance Abuse does the actual monitoring of providers. Information includes name, social security number, reports, and correspondence.

RETENTION:

Retain 7 years.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule SG 4, Item 29.

AUTHORIZED: 05/04/1999

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 1 year after case closes and then transfer to State Records Center. Retain in State Records Center for 6 years and then destroy.

APPRAISAL:

Administrative

This disposition is based on the administrative needs expressed by the agency.

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 83428

TITLE: Substance abuse provider contract monitoring files

(continued)

PRIMARY CLASSIFICATION:

Private

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 20936

3

TITLE: Substance abuse publications

DATES: 1974-

ARRANGEMENT: Chronological.

TOTAL VOLUME:

DESCRIPTION:

Any record, regardless of format, that is issued by a governmental entity for public distribution at the total or partial expense of that governmental entity. See Utah Code Section 9-7-101 8(a)(b) (2010) and 9-7-208 (2006)

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

AUTHORIZED: 11/17/2000

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in State Archives permanently and then microfilm.

Microfiche master: Retain in State Archives permanently with authority to weed.

Microfiche duplicate: Retain in State Archives permanently with authority to weed.

APPRAISAL:

Historical

These records document the activities and function of the agency.

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 20936

TITLE: Substance abuse publications

(continued)

PRIMARY CLASSIFICATION:

Public

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 3905

3

TITLE: Utah Mental Health Association's directories

DATES: 1977-2004

ARRANGEMENT: Alphanumerical

TOTAL VOLUME:

DESCRIPTION:

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in State Archives permanently with authority to weed.

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 3907

3

TITLE: Utah Statistics for troubled youth reports

DATES: 1977-2004

ARRANGEMENT: Alphanumerical

TOTAL VOLUME:

DESCRIPTION:

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in State Archives permanently with authority to weed.

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 22007

3

TITLE: Vendor payment vouchers

DATES: 1990-

ARRANGEMENT: Alphabetical by provider thereunder alphabetical by contract

TOTAL VOLUME:

DESCRIPTION:

Documentation used to input data about cancelled warrants. The information is used to ensure that funds are accurately credited to proper agency Financial Information Network (FI-NET) accounts.

RETENTION:

Retain 7 years.

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule SG 7, Item 50.

AUTHORIZED: 09/09/2009

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 3 years and then transfer to State Records Center. Retain in State Records Center for 4 years and then destroy.

APPRAISAL:

Administrative Fiscal

This disposition is based on the 1997 Utah State General Retention Schedule, Schedule 7, Item 50.

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 22007

TITLE: Vendor payment vouchers

(continued)

PRIMARY CLASSIFICATION:

Public

SECONDARY CLASSIFICATION(S):

Private. UCA 63G-2-302 (1) (e) 1999

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 17227

3

TITLE: Workshop and training files

DATES: 1982-

ARRANGEMENT: Chronological

ANNUAL ACCUMULATION: 1.50 cubic feet.

DESCRIPTION:

Workshop and training materials related to alcoholism and drug treatment.

RETENTION AND DISPOSITION AUTHORIZATION:

These records are in Archives' permanent custody.

APPROVED: 09/1988

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 3 years after closure and then destroy.

APPRAISAL:

Administrative Fiscal

PRIMARY CLASSIFICATION:

Public workshop and program information

SECONDARY CLASSIFICATION(S):

Private. personal information on the instructor

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 83429

3

TITLE: Workshop and training presenter files

DATES: undated

ARRANGEMENT: Alphabetical by trainer surname

TOTAL VOLUME: 0.50 cubic feet.

DESCRIPTION:

These records document training offered by presenters. The Division of Substance Abuse sponsors training on agency programs and changes in the laws affecting the division's programs. Information includes name, social security number, schedules, dates, and correspondence.

RETENTION:

Retain Until superseded or obsolete

DISPOSITION:

Destroy.

RETENTION AND DISPOSITION AUTHORIZATION:

Retention and disposition for this series is authorized by Archives general schedule SG 11, Item 49.

AUTHORIZED: 05/04/1999

FORMAT MANAGEMENT:

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office until superseded or obsolete and then destroy.

APPRAISAL:

Administrative

This disposition is based on the administrative needs expressed by the agency.

AGENCY: Department of Human Services. Division of Substance Abuse and Mental Health

SERIES: 83429

TITLE: Workshop and training presenter files

(continued)

PRIMARY CLASSIFICATION:

Private